

<h1 style="margin: 0;">FEE TRANSMITTAL</h1> <h2 style="margin: 0;">for FY 2001</h2> <p style="margin: 5px 0;">Patent fees are subject to annual revision.</p>		<p>Complete if Known</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Application Number</td> <td>09/387,340</td> </tr> <tr> <td>Filing Date</td> <td>August 31, 1999</td> </tr> <tr> <td>First Named Inventor</td> <td>Needleman et al.</td> </tr> <tr> <td>Examiner Name</td> <td>Minh-Tam Davis</td> </tr> <tr> <td>Group / Art Unit</td> <td>1642</td> </tr> <tr> <td>Attorney Docket No.</td> <td>061765.00367</td> </tr> </table>		Application Number	09/387,340	Filing Date	August 31, 1999	First Named Inventor	Needleman et al.	Examiner Name	Minh-Tam Davis	Group / Art Unit	1642	Attorney Docket No.	061765.00367
Application Number	09/387,340														
Filing Date	August 31, 1999														
First Named Inventor	Needleman et al.														
Examiner Name	Minh-Tam Davis														
Group / Art Unit	1642														
Attorney Docket No.	061765.00367														
TOTAL AMOUNT OF PAYMENT (\$) 130															

<p>METHOD OF PAYMENT (check one)</p> <p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:</p> <div style="border: 1px solid black; padding: 5px; margin: 5px 0;"> Deposit Account Number: 19-0733 </div> <div style="border: 1px solid black; padding: 5px; margin: 5px 0;"> Deposit Account Name: Banner & Witcoff, Ltd. </div> <p><input type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17</p> <p><input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27</p> <p>2. <input type="checkbox"/> Payment Enclosed:</p> <p style="margin-left: 20px;"> <input type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other </p>					<p>3. ADDITIONAL FEES</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Fee Code</th> <th>Large Entity Fee (\$)</th> <th>Small Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or</td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet.</td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for reexamination</td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>Requesting publication of SIF prior to Examiner action</td></tr> <tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td>Requesting publication of SIF after Examiner action</td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td></tr> <tr><td>116</td><td>390</td><td>216</td><td>195</td><td>Extension for reply within second month</td></tr> <tr><td>117</td><td>890</td><td>217</td><td>445</td><td>Extension for reply within third month</td></tr> <tr><td>118</td><td>1,390</td><td>218</td><td>695</td><td>Extension for reply within fourth month</td></tr> <tr><td>128</td><td>1,890</td><td>228</td><td>945</td><td>Extension for reply within fifth month</td></tr> <tr><td>119</td><td>310</td><td>219</td><td>155</td><td>Notice of Appeal</td></tr> <tr><td>120</td><td>310</td><td>220</td><td>155</td><td>Filing a brief in support of an appeal</td></tr> <tr><td>121</td><td>270</td><td>221</td><td>135</td><td>Request for oral hearing</td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - unavoidable</td></tr> <tr><td>141</td><td>1,240</td><td>241</td><td>620</td><td>Petition to revive - unintentional</td></tr> <tr><td>142</td><td>1,240</td><td>242</td><td>620</td><td>Utility issue fee (or reissue)</td></tr> <tr><td>143</td><td>440</td><td>243</td><td>220</td><td>Design issue fee</td></tr> <tr><td>144</td><td>600</td><td>244</td><td>300</td><td>Plant issue fee</td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td></tr> <tr><td>123</td><td>130</td><td>123</td><td>130</td><td>Petitions related to provisional applications</td></tr> <tr><td>126</td><td>180</td><td>126</td><td>180</td><td>Submission of Information Disclosure Stmt</td></tr> <tr><td>581</td><td>40</td><td>581</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td></tr> <tr><td>146</td><td>710</td><td>246</td><td>355</td><td>Filing a submission after final rejection (37 CFR § 1.129(a))</td></tr> <tr><td>149</td><td>710</td><td>249</td><td>355</td><td>For each additional invention to be examined (37 CFR § 1.129(b))</td></tr> <tr><td>179</td><td>710</td><td>279</td><td>355</td><td>Request for Continued Examination (RCE)</td></tr> <tr><td>169</td><td>900</td><td>169</td><td>900</td><td>Request for expedited examination of a design application</td></tr> </tbody> </table> <p>Other fee (specify) <u>Fee Code 194 - 37 CFR 1.17(i)</u></p> <p>*Reduced by Basic Filing Fee Paid</p>					Fee Code	Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid	105	130	205	65	Surcharge - late filing fee or	127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	139	130	139	130	Non-English specification	147	2,520	147	2,520	For filing a request for reexamination	112	920*	112	920*	Requesting publication of SIF prior to Examiner action	113	1,840*	113	1,840*	Requesting publication of SIF after Examiner action	115	110	215	55	Extension for reply within first month	116	390	216	195	Extension for reply within second month	117	890	217	445	Extension for reply within third month	118	1,390	218	695	Extension for reply within fourth month	128	1,890	228	945	Extension for reply within fifth month	119	310	219	155	Notice of Appeal	120	310	220	155	Filing a brief in support of an appeal	121	270	221	135	Request for oral hearing	138	1,510	138	1,510	Petition to institute a public use proceeding	140	110	240	55	Petition to revive - unavoidable	141	1,240	241	620	Petition to revive - unintentional	142	1,240	242	620	Utility issue fee (or reissue)	143	440	243	220	Design issue fee	144	600	244	300	Plant issue fee	122	130	122	130	Petitions to the Commissioner	123	130	123	130	Petitions related to provisional applications	126	180	126	180	Submission of Information Disclosure Stmt	581	40	581	40	Recording each patent assignment per property (times number of properties)	146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	179	710	279	355	Request for Continued Examination (RCE)	169	900	169	900	Request for expedited examination of a design application
Fee Code	Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																						
105	130	205	65	Surcharge - late filing fee or																																																																																																																																																						
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.																																																																																																																																																						
139	130	139	130	Non-English specification																																																																																																																																																						
147	2,520	147	2,520	For filing a request for reexamination																																																																																																																																																						
112	920*	112	920*	Requesting publication of SIF prior to Examiner action																																																																																																																																																						
113	1,840*	113	1,840*	Requesting publication of SIF after Examiner action																																																																																																																																																						
115	110	215	55	Extension for reply within first month																																																																																																																																																						
116	390	216	195	Extension for reply within second month																																																																																																																																																						
117	890	217	445	Extension for reply within third month																																																																																																																																																						
118	1,390	218	695	Extension for reply within fourth month																																																																																																																																																						
128	1,890	228	945	Extension for reply within fifth month																																																																																																																																																						
119	310	219	155	Notice of Appeal																																																																																																																																																						
120	310	220	155	Filing a brief in support of an appeal																																																																																																																																																						
121	270	221	135	Request for oral hearing																																																																																																																																																						
138	1,510	138	1,510	Petition to institute a public use proceeding																																																																																																																																																						
140	110	240	55	Petition to revive - unavoidable																																																																																																																																																						
141	1,240	241	620	Petition to revive - unintentional																																																																																																																																																						
142	1,240	242	620	Utility issue fee (or reissue)																																																																																																																																																						
143	440	243	220	Design issue fee																																																																																																																																																						
144	600	244	300	Plant issue fee																																																																																																																																																						
122	130	122	130	Petitions to the Commissioner																																																																																																																																																						
123	130	123	130	Petitions related to provisional applications																																																																																																																																																						
126	180	126	180	Submission of Information Disclosure Stmt																																																																																																																																																						
581	40	581	40	Recording each patent assignment per property (times number of properties)																																																																																																																																																						
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))																																																																																																																																																						
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))																																																																																																																																																						
179	710	279	355	Request for Continued Examination (RCE)																																																																																																																																																						
169	900	169	900	Request for expedited examination of a design application																																																																																																																																																						
<p>1. BASIC FILING FEE</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Fee Code</th> <th>Large Entity Fee (\$)</th> <th>Small Fee Code</th> <th>Small Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>101</td><td>710</td><td>201</td><td>355</td><td>Utility filing fee</td><td></td></tr> <tr><td>106</td><td>320</td><td>206</td><td>160</td><td>Design filing fee</td><td></td></tr> <tr><td>107</td><td>490</td><td>207</td><td>245</td><td>Plant filing fee</td><td></td></tr> <tr><td>108</td><td>710</td><td>208</td><td>355</td><td>Reissue filing fee</td><td></td></tr> <tr><td>114</td><td>150</td><td>214</td><td>75</td><td>Provisional filing fee</td><td></td></tr> </tbody> </table> <p style="text-align: right;">SUBTOTAL (1) (\$) 0</p>					Large Fee Code	Large Entity Fee (\$)	Small Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid	101	710	201	355	Utility filing fee		106	320	206	160	Design filing fee		107	490	207	245	Plant filing fee		108	710	208	355	Reissue filing fee		114	150	214	75	Provisional filing fee		<p>2. EXTRA CLAIM FEES</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Total Claims</th> <th>Extra Claims</th> <th>Fee from below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>10</td> <td>-20**</td> <td>0</td> <td>0</td> </tr> <tr> <td>Independent Claims</td> <td>2</td> <td>-3**</td> <td>0</td> </tr> <tr> <td>Multiple Dependent</td> <td></td> <td></td> <td>0</td> </tr> </tbody> </table> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Fee Code</th> <th>Large Entity Fee (\$)</th> <th>Small Fee Code</th> <th>Small Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>103</td><td>18</td><td>203</td><td>9</td><td>Claims in excess of 20</td><td></td></tr> <tr><td>102</td><td>80</td><td>202</td><td>40</td><td>Independent claims in excess of 3</td><td></td></tr> <tr><td>104</td><td>270</td><td>204</td><td>135</td><td>Multiple dependent claim, if not paid</td><td></td></tr> <tr><td>109</td><td>80</td><td>209</td><td>40</td><td>** Reissue independent claims over original patent</td><td></td></tr> <tr><td>110</td><td>18</td><td>210</td><td>9</td><td>** Reissue claims in excess of 20 and over original patent</td><td></td></tr> </tbody> </table> <p style="text-align: right;">SUBTOTAL (2) (\$) 0</p>					Total Claims	Extra Claims	Fee from below	Fee Paid	10	-20**	0	0	Independent Claims	2	-3**	0	Multiple Dependent			0	Large Fee Code	Large Entity Fee (\$)	Small Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid	103	18	203	9	Claims in excess of 20		102	80	202	40	Independent claims in excess of 3		104	270	204	135	Multiple dependent claim, if not paid		109	80	209	40	** Reissue independent claims over original patent		110	18	210	9	** Reissue claims in excess of 20 and over original patent																																																										
Large Fee Code	Large Entity Fee (\$)	Small Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																					
101	710	201	355	Utility filing fee																																																																																																																																																						
106	320	206	160	Design filing fee																																																																																																																																																						
107	490	207	245	Plant filing fee																																																																																																																																																						
108	710	208	355	Reissue filing fee																																																																																																																																																						
114	150	214	75	Provisional filing fee																																																																																																																																																						
Total Claims	Extra Claims	Fee from below	Fee Paid																																																																																																																																																							
10	-20**	0	0																																																																																																																																																							
Independent Claims	2	-3**	0																																																																																																																																																							
Multiple Dependent			0																																																																																																																																																							
Large Fee Code	Large Entity Fee (\$)	Small Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																					
103	18	203	9	Claims in excess of 20																																																																																																																																																						
102	80	202	40	Independent claims in excess of 3																																																																																																																																																						
104	270	204	135	Multiple dependent claim, if not paid																																																																																																																																																						
109	80	209	40	** Reissue independent claims over original patent																																																																																																																																																						
110	18	210	9	** Reissue claims in excess of 20 and over original patent																																																																																																																																																						
<p>**or number previously paid, if greater; For Reissues, see above</p>					<p>SUBTOTAL (3) (\$) 130</p>																																																																																																																																																					

SUBMITTED BY				Complete (if applicable)	
Name (Print/Type)	Joseph M. Skerbon	Registration No. Attorney/Agent)	29,864	Telephone	202-508-9100
Signature				Date	February 19, 2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

CLAIMS	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) CALCULATIONS
	TOTAL CLAIMS (37 CFR 1.16(c) or (j))	4-20* =	0	x \$18=	\$ 0
	INDEPENDENT CLAIMS 37 CFR 1.16(b) or (l)	1-3** =	0	x \$84=	0
	MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR 1.16(d)) 0			x \$280=	0
				BASIC FEE (37 CFR 1.16)	740
	Total of above Calculations =				740
	Reduction by 50% for filing by small entity (Note 37 CFR 1.27).				
	* <i>Reissue claims in excess of 20 and over original patent.</i>				
	** <i>Reissue independent claims over original patent.</i>				
	TOTAL =				740

6. ☐ Small entity status: Applicant claims small entity status. See 37 CFR 1.27.
7. The Commissioner is hereby authorized to credit overpayments or charge the following fees to Deposit Account No. 19 - 0733 :
- a. ☒ Fees required under 37 CFR 1.16.
- b. ☒ Fees required under 37 CFR 1.17.
- c. ☒ Fees required under 37 CFR 1.18.
8. ☐ A check in the amount of \$ _____ is enclosed.
9. ☐ Payment by credit card. Form PTO-2038 is attached.
10. ☐ Applicant requests suspension of action under 37 CFR 1.103(b) (fee under 37 CFR 1.17(l) enclosed).
11. ☐ New Attorney Docket Number, if desired
[Prior application Attorney Docket Number will carryover to this CPA unless a new Attorney Docket Number has been provided herein.]
12. a. ☐ Receipt For Facsimile Transmitted CPA (PTO/SB/29A)
- b. ☒ Return Receipt Postcard (Should be specifically itemized, See MPEP 503)
13. ☒ Other: Petition for Extension of Time (attached)

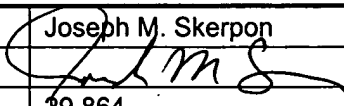
NOTE:

The prior application's correspondence address will carry over to this CPA UNLESS a new correspondence address is provided below.

12. NEW CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number or Bar Code Label		22907 (Insert Customer No. or Attach bar code label here)		or <input type="checkbox"/> New correspondence address below	
Name					
Address					
City		State		Zip Code	
Country		Telephone		Fax	

13. SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

Name (Print /Type)	Joseph M. Skerpon
Signature	
Registration No. (Attorney/Agent)	29,864
Date	January 4, 2002

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application Of)	
)	Group Art Unit 1642
NEEDLEMAN et al.)	
)	Examiner: Minh-Tam Davis
Serial No. 09/387,340)	
)	
Filed: August 31, 1999)	Atty. Docket: MON-102.0-C
)	(3119-C)(061765.00367)
Continued Prosecution Application)	
Filed: January 4, 2002)	

For: **AN IMMUNOLOGICAL PROCESS FOR INCREASING THE HDL
CHOLESTROL CONCENTRATION (AS AMENDED)**

SECOND PRELIMINARY AMENDMENT

The Honorable Assistant Commissioner
for Patents
Washington, D.C. 20231

Sir:

This paper is submitted to amend the title of the pending application to make it more descriptive of the currently pending claims and to add some additional dependent claims. Applicants do not believe any fee is required to enter the amendment. If a fee is due, applicants hereby authorize the charging of Deposit Account No. 19-0733 for any such fee(s). Applicants also wish to correct an incorrect reference in the previously submitted Supplemental Information Disclosure Statement.

IN THE TITLE

Please replace the current title with the following:

**AN IMMUNOLOGICAL PROCESS FOR INCREASING THE HDL
CHOLESTROL CONCENTRATION**

IN THE CLAIMS

Please add new claims 48 through 51 as follows:

02 FEB 19 PM 2:52

RECEIVED
TECH. CENTER 1600/2900

RECEIVED

FEB 21 2002

TECH. CENTER 1600/2900

19/E
K9
3900